



VIRGINIA DEPARTMENT OF  
**EDUCATION**

**ENGLISH LITERACY/CIVICS EDUCATION  
COMPETITIVE GRANT APPLICATION PACKET**

**2013-2014**



VIRGINIA DEPARTMENT OF EDUCATION  
DIVISION OF  
**TECHNOLOGY, CAREER &  
ADULT EDUCATION**  
OFFICE OF ADULT EDUCATION & LITERACY SERVICES

P.O. Box 2120  
Richmond, VA 23218-2120

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## ANNOUNCEMENT OF FUNDING AVAILABILITY

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The Virginia Department of Education (VDOE), Office of Adult Education and Literacy (OAEL), will make funds available for grants to support English Literacy/Civics Education (EL/Civics) projects in Virginia. Funding is provisional and contingent upon the availability of funds from the United States Department of Education (USED).

TITLE	English Literacy/Civics Education Grant Program
ISSUING AGENCY	Virginia Department of Education Office of Adult Education and Literacy P.O. Box 2120 Richmond, Virginia 23218-2120 Phone: 804-225-2053
ISSUED TO	A local education agency; a community-based literacy organization of demonstrated effectiveness; a volunteer literacy organization of demonstrated effectiveness; an institution of higher education; a public or private nonprofit agency; a library; a public housing authority; a nonprofit institution that is not described previously and has the ability to provide literacy services to adults and families; and a consortium of the agencies, organizations, institutions, libraries, or authorities described previously.
FUNDING AUTHORITY	Title II, Workforce Investment Act of 1998, PL 105-220 Consolidated Appropriations Act of 2010, PL 111-366
GRANT PERIOD	July 1, 2013 – June 30, 2014 (see “Administration,” for additional information, page 4)
GRANT AMOUNT RANGE	\$25,000-\$100,000
APPLICATION SUBMISSION DEADLINE	May 29, 2013

The application materials (one original and four copies) may be mailed, hand delivered, or commercially delivered to the appropriate address below. Applications must be received by OAEL **no later than 2 p.m., Eastern Daylight Time, May 29, 2013**. Faxed or e-mailed copies will not be accepted. Applications not meeting the delivery deadline will not be considered.

### Physical Address

Melissa Dixon, Finance Technical Assistant  
Office of Adult Education and Literacy  
James Monroe Building, 21<sup>st</sup> Floor  
101 North 14<sup>th</sup> Street  
Richmond, Virginia 23219

### Mailing Address

Melissa Dixon, Finance Technical Assistant  
Office of Adult Education and Literacy  
P.O. Box 2120  
Richmond, Virginia 23218-2120

# GRANT REQUIREMENTS

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**[F] – CONTAINS FEDERAL REQUIREMENTS, POLICY, OR STANDARDS**

**[S] – CONTAINS STATE REQUIREMENTS, POLICY, OR STANDARDS**

## GENERAL INFORMATION

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### PURPOSE [F]

In accordance with the *Adult Education and Family Literacy Act* (AEFLA), Title II of the *Workforce Investment Act of 1998*, the English Literacy and Civics Education\* (EL/Civics) program supports projects that effectively provide adults of limited English proficiency (LEP) with access to English literacy programs linked to civics education to help them become full participants in American life.

Grants may be used to support a variety of activities related to English language and civics education instruction, including the costs of staff and instructors, materials, staff training, and allowable support services.

*\*Civics education is defined as an educational program that emphasizes contextualized instruction on the rights and responsibilities of citizenship, naturalization procedures, civic participation, and United States history and government in order to help students acquire the skills and knowledge to become active and informed parents, workers, and community members.*

### ADMINISTRATION [S]

The Virginia Department of Education (VDOE), Office of Adult Education and Literacy (OAEL), administers the EL/Civics grants, providing leadership, technical assistance, and oversight during the application and grant implementation processes.

OAEL reserves the right to extend funding for one year after the 2013-2014 competition if the Workforce Investment Act (WIA) is not reauthorized during the grant award period. If reauthorization does occur, another competition will be conducted for these funds based on the requirements contained in the reauthorized legislation.

Continuation of funding to programs that are granted awards under the 2013-2014 competition is based on both input measures (program administration and operations reflecting evidenced-based and research-based best practices) and output measures (achievement of annual federal and state performance goals).

All funding is subject to the allocation and availability of funds by the United States Congress and the Virginia General Assembly.

### ELIGIBLE APPLICANTS [F]

Eligible applicants include: a local education agency; a community-based literacy organization of demonstrated effectiveness; a volunteer literacy organization of demonstrated effectiveness; an institution of higher education; a public or private nonprofit agency; a library; a public housing authority; a nonprofit institution not described previously and that has the ability to provide literacy services to adults and families; and a consortium of the agencies, organizations, institutions, libraries, or

authorities described previously. Current and previous recipients of EL/Civics funds are eligible to submit an application.

#### Regional Programs

Eligible providers who have entered into a Memorandum of Understanding (MOU) for the establishment of a regional adult education program are encouraged to apply for FY 2013-2014 EL/Civics funding through the regional program's fiscal agent. Regional programs may apply for up to the maximum qualifying award for each locality in the region (page 6). A regional budget workbook should be completed if a regional program applies for multiple localities.

For further information about regional program applicants, please refer to Sections VII.B-C of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*.

#### **OPERATIONAL GUIDANCE MANUAL [S]**

Eligible applicants should refer to the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, for further descriptions of all applicable procedures required by the grant. When applicable, the appropriate section of the manual is identified in this application packet. The manual is located on the OAEL Web site at <http://www.doe.virginia.gov/instruction/adulted/literacy/index.shtml>.

#### **DEADLINE FOR RECEIPT OF APPLICATION [S]**

The application materials (one original and four copies) may be mailed, hand delivered, or commercially delivered to the appropriate address below. Applications must be received by OAEL no later than 2 p.m., Eastern Daylight Time, May 29, 2013. Faxed or e-mailed copies will not be accepted. Applications not meeting the delivery deadline will not be considered.

##### Physical Address

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P.O. Box 2120  
Richmond, Virginia 23218-2120

#### **GRANT PERIOD AND AWARD AMOUNTS [S]**

Grants will be awarded for the period beginning July 1, 2013, and ending June 30, 2014. Awards may range from \$25,000 to \$100,000 depending on the proposed number of students served and reported to the National Reporting System (NRS) through VDOE's Web-based data system. Each independently eligible applicant and the eligible provider in each locality of a regional program may apply for an award of \$25,000 to \$100,000. Awards for approved applications will be based on a minimum NRS enrollment\* as outlined in the following table and the applicants' requests for funding.

<b>NRS Enrollment</b>	<b>Qualifying Award</b>
25-49	\$25,000
50-99	\$25,001 – \$49,999
100-149	\$50,000 - \$99,000
150 or more	\$100,000

*\*Learners qualifying for NRS enrollment must have twelve hours of instruction, a pre-test, and a goal.*

### **APPLICATION COMPONENTS [S]**

Pursuant to Sections V.A.1 and V.A.2 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, eligible applicants must submit within the established deadline a complete application in order to be considered for funding. The complete application instructions are included in this document. Each component listed below is described in detail in this application packet on the pages indicated. A checklist is in the appendix of this document and must be submitted along with the components described below.

- Proposal narrative (page 19)
- Application Forms workbook, including contact information, budget worksheets, budget summary, and Program Performance Targets Table (pages 13 and 22)
- Certifications – federal and state (page 17)

Regional programs must provide separate budget worksheets for each locality in the program; the budget summary will tally totals for all of the worksheets. However, only one proposal narrative should be developed to address the program plan for all localities in the region.

### **INQUIRIES [S]**

For questions regarding programmatic processes or budgets, please contact \_\_\_\_\_, specialist for federal programs, via e-mail at [James.Andre@doe.virginia.gov](mailto:James.Andre@doe.virginia.gov) or by telephone at (804) 371-7852.

### **COMMUNICATION [S]**

Pursuant to Sections VI.A.18-20 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, the program manager or designee is required to provide appropriate contact information as identified on the contact information sheet and must attend all OAEL meetings (whether held in face-to-face or electronic forums), including program manager meetings and conference calls.

By signing as program contact, the individual identified assumes responsibility for all program matters, including financial management.

## **CONSIDERATIONS [F]**

In selecting grants for funding, OAEL will consider the factors below, consistent with the requirements of the AEFLA.

1. The degree to which the eligible provider will establish measurable goals for participant outcomes
2. The past effectiveness of an eligible provider in improving the literacy skills of adults and families, and, after the one-year period beginning with the adoption of an eligible agency's performance measures under section 212 of AEFLA, the success of an eligible provider receiving funding under this subtitle in meeting or exceeding such performance measures, especially with respect to those adults with the lowest levels of literacy
3. The commitment of the eligible provider to serve individuals in the community who are most in need of literacy services, including individuals who are low-income or have minimal literacy skills
4. Whether or not the program
  - (A) is of sufficient intensity and duration for participants to achieve substantial learning gains, and
  - (B) uses instructional practices, such as phonemic awareness, systematic phonics, fluency, and reading comprehension that research has proven to be effective in teaching individuals to read
5. Whether the activities are built on a strong foundation of research and effective educational practice
6. Whether the activities effectively employ advances in technology, as appropriate, including the use of computers
7. Whether the activities provide learning in real-life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship
8. Whether the activities are staffed by well-trained instructors, counselors, and administrators
9. Whether the activities coordinate with other available resources in the community, such as by establishing strong links with elementary schools and secondary schools, postsecondary educational institutions, one-stop centers, job training programs, and social service agencies
10. Whether the activities offer flexible schedules and support services that are necessary to enable individuals, including individuals with disabilities or other special needs, to attend and complete programs
11. Whether the activities maintain a high-quality information management system that has the capacity to report participant outcomes and to monitor program performance against the eligible agency performance measures
12. Whether the local communities have a demonstrated need for additional English literacy programs



## **PROGRAM PRIORITIES [F][S]**

All programs funded through the EL/Civics grant program are expected to address the fundamental program priority of providing integrated English literacy and civics education in accordance with state and federal regulations as described herein and in the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*. The intensity, duration, and delivery of literacy instruction should be sufficient to enable LEP adult learners to achieve progress measured in terms of National Reporting System (NRS) accountability standards. The instruction should emphasize content in all of the following areas.

1. The rights and responsibilities of citizenship
2. United States naturalization procedures
3. Civic participation
4. United States history and government

In addition to addressing the fundamental program priority, applicants are encouraged to provide EL/Civics services in conjunction with any or all of the following priorities.

### Citizenship Preparation

Citizenship preparation is designed to prepare learners to complete the naturalization process by enhancing their understanding of the rights and responsibilities of citizenship, United States naturalization procedures, and United States history and government.

### Facilitating the Transition to Adult Basic Education (ABE)

Facilitating transition of EL/Civics learners to ABE programs will allow learners to continue their education and place them on track to earn a General Educational Development (GED<sup>®</sup>) credential, gain employment, or enroll in a postsecondary education or training program.

### Serving Areas with Significant Unmet Demand

Areas of significant unmet demand for EL/Civics education include those that consistently maintain waiting lists for entry into EL/Civics programs, have experienced significant growth in the number of LEP adults, have a large concentration of adults in unserved or underserved language groups, and/or have limited accessibility to nontraditional class schedules and locations.

## ACTIVITIES

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### APPROVED ACTIVITIES [F] [S]

EL/Civics activities should enable LEP adult learners to increase their English proficiency in reading, writing, speaking, and listening in order to understand and navigate governmental, educational, and workplace systems and key American institutions. Grant activities should focus on implementing effective practices that increase access to and provide an integrated program of English literacy instruction and civics education and may include the following activities.

1. Citizenship preparation
2. Civic participation\*\*
3. Field trips that support class-based instruction
4. Use of technology for teaching and learning, including the use of effective distance learning technology and instructional software
5. Outreach of demonstrated effectiveness
6. Guest speaker events that support class-based instruction

*\*\*Participation in civic activities is allowable if it involves or supports class-based instruction and is in accordance with all other EL/Civics program criteria.*

### UNAPPROVED ACTIVITIES [F] [S]

Pursuant to Sections VI.A.6 and VI.A.11 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grantees may not use funds to participate in, support, or encourage unapproved activities. Unless otherwise noted in the manual, unapproved activities include, but are not limited to, the following.

1. Providing continuing education, enrichment, or other vocational or technical classes
2. Sponsoring or supporting learner participation in organized fair or fundraising activities, such as career fairs and health fairs, that are not directly related to EL/Civics instruction
3. Developing curriculum and/or curricular materials that are not used for instructional purposes during the grant period
4. Providing religious instruction, conducting worship services, or engaging in any form of proselytization
5. Assisting, promoting, or deterring union organizing
6. Financing, directly or indirectly, any activity designed to influence the outcome of an election to any public office
7. Impairing existing contracts for services or collective bargaining agreements
8. Paying or compensating directly for learner transportation (other than for class field trips) or childcare

Neither federal grant funds nor local matching funds may be used to support GED®-testing-related activities such as testing, re-testing, graduations, or scholarships.

Additionally, programs must adhere to the special provisions for food, recognition ceremonies, and English-only instruction included in the manual.

### **FEES [F] [S]**

Pursuant to Section V.F.3 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grantees may collect tuition and registration fees. Such fees should be necessary and reasonable and must be used for allowable expenditures as described in the Expenditures section of this application packet.

## **STAFF DEVELOPMENT [S]**

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Pursuant to Section VI.A.19 and VI.C.10 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, eligible applicants must provide for staff development in their proposed budgets. Participation in quality staff development enables administrators, teachers, volunteers, counselors, and support staff to deliver EL/Civics program services in accordance with OAEL policies, priorities, and state and federal grant criteria. Throughout the grant year, OAEL sponsors staff development opportunities provided by the Virginia Adult Learning Resource Center (VALRC) that address such topics as the National Reporting System (NRS), goal-setting policy, and assessment certification.

In addition, the program manager or designee is required to attend all OAEL-sponsored grant meetings (whether held in face-to-face or electronic forums), including program manager meetings and conference calls.

## **ACCOUNTABILITY AND REPORTING**

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### **WEB-BASED DATA SYSTEM [F] [S]**

Grantees must use the VDOE's Web-based data system to report their program data on a monthly basis. National Reporting System (NRS) data must be entered no later than the 20<sup>th</sup> day of each month beginning July 1, 2012. All fiscal year NRS data for 2013-2014 must be completed by August 1, 2014. Required monthly data include, but are not limited to, the following.

- Staff employment
- Staff certifications
- Class information
- Student demographic information
- Student assessment information
- Student goal information
- Student attendance

#### External Database – Importing Data

Effective July 1, 2011, grantees may not import data into the NRS Web-based data system from an external database and must manually enter their data in accordance with Sections VI.A.8 and VI.A.10 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs* as described above.

#### Universal Student Profile Document (USPD)

Pursuant to Section VI.C.5 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, all grantees must use pages one and two of the USPD to collect and report required student demographic and goal information annually. Programs are encouraged to use pages three and four to help with recordkeeping. No page or portion of the USPD form may be changed or otherwise altered without OAEL approval.

### **PROGRAM PERFORMANCE [F]**

Pursuant to Section VI.A.22 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grant recipients are expected to meet the state-negotiated performance targets for accountability. A review of performance will occur semi-annually from the inception of the grant. Each recipient shall demonstrate by January 20, 2014, progress towards meeting state targets on NRS Table 4 and Table 5. Additional reports may be required throughout the grant cycle based on funding and program priorities. A final evaluation report will be due in October 2014 (page 18).

### **TECHNOLOGY [S]**

Pursuant to Section VI.B.10 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grant recipients must provide access to current and comprehensive computers and technology for program implementation and administration. Eligible applicants must have computers that meet the following minimum hardware and software requirements in order to navigate the variety of adult education Web sites and financial and data management information systems.

- Windows 2000 or XP\*
- Microsoft Office 2000, XP, 2003, or 2007\*
- Microsoft Internet Explorer 6.0 or higher\*\*
- Adobe Acrobat Reader 6.0 or higher
- Broadband, DSL, or T1 connection

\* *Mac OS, Microsoft Vista, Windows 7, and Microsoft Office 2010 are not supported in the development and testing of the state accountability systems.*

\*\* *Internet Explorer 9.0 and browsers other than those noted above are not supported*

## **ASSESSMENT, GOAL SETTING, AND DISTANCE EDUCATION [F] [S]**

Pursuant to Section VI.A.9 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grant recipients must conduct activities in accordance with the policies outlined in the *Assessment Policy for Virginia Adult Education and Literacy Programs* and the *Goal-Setting Policy for Virginia Adult Education and Literacy Programs*, effective September 1, 2007, and the *Distance Education Policy for Virginia Adult Education and Literacy Programs*, effective July 1, 2010, and all subsequent updates or addenda to these policies. All policies are located on the OAEL Web site at <http://www.doe.virginia.gov/instruction/adulted/literacy/abe/index.shtml>.

## **RETENTION OF RECORDS [S]**

Pursuant to Section VI.A.17 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs* grant recipients must maintain all records, including student and financial records, related to the grant for a period of five years after the ending date of the grant. These records must be accessible and available for monitoring and auditing purposes.

## **FEDERAL FUNDING ACCOUNTABILITY AND TRANSPARENCY ACT [F]**

The Federal Funding Accountability and Transparency Act (FFATA) went into effect in September 2006. The intent of the FFATA is to reduce wasteful spending in the government through accountability measures. The FFATA legislation requires information on federal awards be made public via a single, searchable Web site, which is [www.USASpending.gov](http://www.USASpending.gov).

The FFATA Sub-award Reporting System (FSRS) will collect data from federal prime awardees on sub-awards they make. OAEL is required to report on its sub-grants.

All applicants receiving an EL/Civics grant award will be required to submit additional information to OAEL upon request. Information about reporting for FFATA will be included with the grant award.

## **BUDGETS AND FINANCIAL REPORTING**

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### **PROGRAM COST [S]**

VDOE will fund 85 percent of the total program cost. Local matching funds must account for the remaining 15 percent. A more complete description of local matching funds is described beginning on page 15 of this document.

## **INSTRUCTIONAL COSTS [S]**

Eligible applicants shall use not less than 95 percent of the projected federal allocation for EL/Civics instructional activities. Below are additional budgeting requirements related to the instructional plan.

### Instructional Salaries

The eligible applicant must budget a minimum of 50 percent of the total instructional costs for salaries and benefits related to direct or distance learning instruction. Additional consideration should be given for providing staff development.

### Purchased Services – Outreach

The eligible applicant may not budget more than 10 percent of the instructional costs for purchasing outreach materials, services, and activities.

### Computers and Equipment

Any expenditure for computers and technology equipment must be reasonable and justifiable. All computers and equipment must be for the direct use and benefit of the proposed project during the year of the grant. Expenses for computers and equipment must be incurred during the first three quarters of the award year.

## **ADMINISTRATIVE COSTS [F]**

Eligible applicants may budget up to 5 percent of the total requested amount for administrative expenses for the proposed project.

## **BUDGETS [S]**

Eligible applicants are responsible for developing budgets that accurately reflect the planned activities for the grant period. Only expenditures that support approved EL/Civics activities may be budgeted. The budget workbooks are located under English Literacy/Civics Education on the OAEL Web site at:

[http://www.doe.virginia.gov/instruction/adulted/grants\\_funding/index.shtml](http://www.doe.virginia.gov/instruction/adulted/grants_funding/index.shtml).

The required budget elements include all of the following.

### Budget Narrative

Applicants must include a budget narrative as part of the proposal narrative that clearly describes how all anticipated program expenses are related to the proposed activities. Expenses identified in the budget narrative should match those listed in the budget worksheets. For more information about developing the budget narrative, please refer to the Proposal Development and Review section of this document, beginning on page 19 of this document.

### Budget Summary

Applicants must submit a budget summary identifying the total expenditures related to administration, instruction, and local match. The budget summary sheet is a component of the budget workbook.

### Budget Worksheets

Applicants must complete and submit all administrative and instructional budget worksheets, located in the budget workbook. Within each category, applicants must identify all relevant expenditures by line item. To purchase textbooks, for example, the applicant should select “Textbooks/Workbooks” and enter the estimated purchase total.

### Regional Programs

Regional program applicants must submit budget information using a Regional Budget Workbook. Applicant must submit administrative and instructional budget worksheets for each participating local program as well as a budget summary for the entire region. The regional workbook contains budget worksheets for six local programs. Contact OAEL if additional worksheets are required.

### Online Management of Education Grant Awards (OMEGA)

Once the budget has been approved by OAEL, OMEGA-approved applicants must submit a budget transfer in OMEGA to establish the budget for reimbursement. Local school divisions and regional programs based in local school divisions or community colleges are approved to use OMEGA. It is the responsibility of OMEGA-approved programs to ensure that appropriate local staff, including the program manager or director, has current permissions for access, development, and approval in OMEGA.

### Object Codes and Descriptions

Budgets must be developed using standard state object codes. For a full description and examples for each object code, see the Budget Workbook Instructions.

## **EXPENDITURES [F] [S]**

All expenditures must fall under the object codes identified in the budget. Expenses must pertain to a specific object code in order to be considered for reimbursement. Pursuant to Section V.E.1 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, all expenditures must be allowable. Any program expenditure deemed not allowable may not be claimed for reimbursement and will be incurred at the expense of the grantee. The grantee should contact OAEL about any questionable expenditure prior to making the purchase.

It is the responsibility of the recipient to maintain adequate liability coverage for the recipient, the employees, and the participants for both on-site and off-site activities.

### Applicable Guidelines

Applicable federal and state administrative requirements, cost principles, and audit requirements are incorporated into each grant award by reference. For educational institutions, the following apply.

1. Uniform Administrative Requirements for Grants and Agreements to State and Local Governments, 45 FR, Part 2541
2. OMB Circular A-87, Cost Principles for State and Local Governments
3. OMB Circular A-133, Audits of State and Local Governments and Non-Profit Organizations

### Unallowable Expenditures

As described previously, funds may not be used to support any unapproved activities. Additionally, stipends, allowances, post-service benefits, or other financial support may not be paid to any staff, except as reimbursement for transportation or other reasonable out-of-pocket expenses directly related to program participation.

### Local Match

Pursuant to Section VI.C.12 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, a 15 percent local match is required from the grant recipient. VDOE will provide 85 percent of the total program cost (this includes administration and instruction). The match may be made as in-kind contributions, cash, or a combination of the two. The match may exceed 15 percent but may not be less than 15 percent.

To calculate the local match amount based on the project cost, take the total cost of the project and multiply by 0.15. The result is the expected local match amount.

To calculate the local match amount based on the requested amount, divide the request amount by 0.85. The result is the total cost of the project. Subtract the request amount from the total project cost. The result is the expected match amount.

The following examples illustrate how to calculate the local match described above:

<b>Start with Estimated Project Cost</b>	<b>Amount</b>
Estimated Project Cost	\$100,000
Estimated Local Match Amount (multiply the estimated project cost by 0.15)	\$15,000
Estimated Request Amount (subtract the estimated local match amount from the estimated project cost)	\$85,000



<b>Start with Estimated Request Amount</b>	<b>Amount</b>
Estimated Request Amount	\$100,000
Estimated Project Cost (divide the estimated request amount by 0.85)	\$117,647
Estimated Local Match Amount (subtract the estimated request amount from the estimated project cost)	\$17,647

#### *Allowable Matching Funds*

An applicant may designate contributions of non-federal cash or in-kind costs towards the EL/Civics project as local match as long as the expenses are within the scope of the applicant's proposed activities and are allowable. The local match should be identified in the budget worksheets by object code, line item, and amount. However, match amounts do not have to parallel requested amounts by amount, line item, or object code. Special considerations for determining local match include the following.

- All expenditures identified as local match must be for the direct support of the program activity.
- When applicable, documentation is required to identify the percent of support converted to a dollar amount. Common instances of this requirement include salaries.
- Rent may be used as local match and is based on the fair market rental rate in the program area. This applies when state, local education agency (LEA), or other agency property is used as space to support program activities. Documentation of an appraisal of fair market rental rate for the area is required. The percentage of use-time must be converted to a dollar amount.
- Applicants that identify indirect cost may not claim overhead costs (e.g., rent, utilities, or common area maintenance) against EL/Civics funding.

#### **PROGRAM INCOME [F]**

Grant recipients may collect tuition monies and/or fees. Tuition monies or fees collected must be reasonable and necessary and must not deter access to services. Such fees are regarded as program income and must be tracked and expended carefully. In addition to fees charged for services, any full-time equivalent (FTE) funds collected by institutions of higher education based on federally funded adult education and literacy enrollments are considered program income, and those funds must be tracked and expended in the same manner as tuition or fees.

Pursuant to Sections V.F.3 and V.F.4 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, program income must be used and reported by the grant recipient in a specific manner. As defined by the guidance manual, program income is the "gross income received by the grant recipient or sub-recipient directly

generated by a grant supported activity or earned as a result of the grant agreement during the grant period.”

Grant recipients must report program income collected and expended quarterly based on the income generated during the grant period. This includes support of classes, coordination, supervision, and general administration of adult education programs, including responsibilities associated with the finances of these programs. Expenditures must be tracked and reported within the same expenditure object codes identified previously.

Program income may not be incorporated into a lead agency’s general funds unless it is directly available to support EL/Civics services and is maintained as a separate line item. The form to report program income is located on the OAEL Web site at [http://www.doe.virginia.gov/instruction/adulted/grants\\_funding/index.shtml](http://www.doe.virginia.gov/instruction/adulted/grants_funding/index.shtml).

#### **REQUESTS FOR REIMBURSEMENT AND TRANSFERS [F] [S]**

Pursuant to Section V.F.1 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, VDOE funds grant recipients on a cost-reimbursement basis only. All reimbursements and budget amendments must be submitted appropriately, according to the procedures outlined in the Financial Management chapter of the manual.

#### **CERTIFICATIONS AND COMPLIANCE [F] [S]**

Pursuant to Section VI.A.7 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, eligible applicants must certify annually, through official signature of the superintendent, community college president, or designee, compliance with specific state and federal laws and/or regulations. Signatures indicate that the applicant agrees to fully comply with each assurance. It is the responsibility of the applicant to be knowledgeable about applicable laws and regulations and as a grantee to act in accordance with these laws and regulations. The state and federal assurance forms are located on the OAEL Web site at [http://www.doe.virginia.gov/instruction/adulted/grants\\_funding/index.shtml](http://www.doe.virginia.gov/instruction/adulted/grants_funding/index.shtml).

#### **TERMINATION OR SUSPENSION [F] [S]**

Pursuant to Sections V.I.1, V.J.1, V.K.1, and V.L.2 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, all funding is subject to the availability and appropriation of funds for the purpose of EL/Civics programs. In emergency situations, VDOE may suspend a grant for not more than 30 calendar days. Examples of such situations may include, but are not limited to: serious risk to persons or property; violations of federal, state, or local criminal statutes; and material violations of the grant that are sufficiently serious that they outweigh the general policy in favor of advance notice and opportunity to show cause. Pursuant to 45 CFR 2540.400, VDOE may terminate reimbursement payments under the grant, or revoke grant funds for failure

to comply with applicable provisions of this grant. VDOE shall provide the grantee reasonable notice and opportunity for a full and fair hearing within 60 days of receipt of such notice.

## **MONITORING AND EVALUATION**

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### **PROGRAM PERFORMANCE REPORT CARDS [S]**

Pursuant to Section VI.A.23 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, grant recipients are responsible for participating in any monitoring and evaluation activities conducted by OAEL. In accordance with the *Virginia State Plan for Adult Education and Literacy*, OAEL must conduct annual performance evaluations of grant recipients. Evaluation activities will include periodic reviews of program performance. These reviews address program performance in the following three areas: (1) financial management; (2) meeting state and federal performance targets; and (3) compliance with select OAEL policies. An end-of-year performance report, called the “Program Performance Report Card,” is also issued. The report card summarizes the overall performance of the adult education program during the program year.

### **DESK AUDITS [S]**

Desk audits will be conducted throughout the grant period to identify whether grant recipients are performing in accordance with state and federal policies and regulations, as well as program expectations. OAEL will monitor regional program performance in terms of meeting federal and state targets, sound management of grant resources, and compliance with OAEL policies. If questions or concerns arise from a desk audit, OAEL staff will contact the reviewed program for further action.

### **SITE VISITS [S]**

Pursuant to Section VI.A.24 of the *Operational Guidance Manual for Virginia Adult Education and Literacy Programs*, OAEL reserves the right, at all reasonable times, to conduct site visits to review and evaluate grant recipient records, accomplishments, organizational procedures, and financial control systems; to conduct interviews; and to provide technical assistance.

### **ANNUAL EVALUATION [F] [S]**

EL/Civics grantees will be evaluated annually based on the measures used for the program performance report cards and EL/Civics program targets. In addition, EL/Civics grantees are required to submit a year-end report describing progress in fulfilling grant goals and objectives. The year-end report may require quantitative as well as qualitative information and will be due in October 2014.

## PROPOSAL DEVELOPMENT AND REVIEW

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### INSTRUCTIONS [F] [S]

Applicants are expected to develop a proposal narrative that describes the nature of the request according to the proposal categories described below. In addition, applicants must complete a contact information sheet, budget worksheets, a budget summary, and a Program Performance Targets table, all of which are located in the Application Forms workbook.

Applicants are responsible for making sure that a complete application has been received by the OAEL office by the deadline. A complete application contains all of the application components according to the application checklist, located in the appendix of this application packet, as well as a copy of the completed application checklist. Applicants are required to submit one original signed application and four copies by 2 p.m., Eastern Daylight Time (EDT), May 29, 2013. Any applications (in part or in full) or any application materials received after the deadline will not be considered.

The proposal narrative should describe a plan that explains in a thoughtful and concise manner how the applicant will address the stated need by providing English literacy instruction in the context of civics education that meets the state and federal considerations and priorities described on pages 7 and 8 of this proposal. The narrative should not exceed twenty, typed, double-spaced, single-sided pages. Regional AEFLA programs applying on behalf of multiple localities may use up to twenty-five, typed, double-spaced, single-sided pages for the narrative.

The narrative should be organized according to the categories outlined below. The applicant should use the items in each category to help guide their responses. Reliance on the use of and reference to appended materials is discouraged. If appended materials are required, they should be kept to a minimum. The maximum number of points that an application can receive is 150, based on the following distribution.

• Statement of Need	15 points
• Measurable Goals and Objectives	50 points
• Program Design	25 points
• Capacity and Commitment	25 points
• Program Evaluation	20 points
• Budget and Budget Narrative	15 points

### STATEMENT OF NEED (15 POINTS)

Using current information and data from external and internal sources, eligible applicants must describe the need for English literacy services in the context of civics education in the proposed service area. Data used to support your description must be accompanied by citations and originate from sources published after 2004.

## **MEASURABLE GOALS AND OBJECTIVES (50 POINTS)**

Part I. Eligible applicants must describe in measurable terms the goals of the grant for fiscal years 2013-2014 and 2014-2015. At a minimum, the goals must address the following for each year.

- Enrollment targets
- A plan of improvement in order to meet or exceed NRS-negotiated targets for educational gains and follow-up goals

In addition, applicants should consider the following in establishing their goals.

- The need identified in the Statement of Need
- Delivery of services that demonstrate compliance with the considerations and priorities of the proposal
- Professional development needs necessary to carry out the prescribed delivery of services, to meet enrollment and NRS-negotiated performance targets, or to align program services with the considerations and priorities of the proposal

Part II. Using the goals for FY 2013-2014 provided in Part I, eligible applicants must state the objectives that support the accomplishment of the goals. Objectives should be clearly defined and measurable. However, applicants should avoid merely listing activities.

## **PROGRAM DESIGN (25 POINTS)**

Eligible applicants must describe the services they intend to deliver for FY 2013-2014 to meet their population's needs and include a description of the following components.

- The number, type (e.g., classes, groups, pairs, etc.), location, and schedule of instructional services provided
- Instructional activities that describe the following:
  - The integration of English literacy with civics education in accordance with the federal definition of "civics education" that includes **all four** of the required components of:
    - The rights and responsibilities of citizenship
    - United States naturalization procedures
    - Civic participation
    - United States history and government
  - Support services, including those for individuals with disabilities or other special needs, offered to enable individuals to attend and complete programs
  - The use of instructional practices such as phonemic awareness, systematic phonics, fluency, and reading comprehension that are built on a strong

- foundation of research and proven educational practices in teaching learners to read
  - Real life contexts to ensure that an individual has the skills needed to compete in the workplace and exercise the rights and responsibilities of citizenship
- The intensity and duration of instruction that allows for participants to achieve substantial learning gains
- A plan for improvement if your program's performance has not met NRS-negotiated targets for the last two years
- Assessment, goal setting, and, if applicable, distance education procedures that ensure compliance with OAEL policies
- The use of technology, including the use of computers, in teaching and learning

#### **CAPACITY AND COMMITMENT (25 POINTS)**

Eligible programs must demonstrate the capacity to achieve state goals by describing the following.

- The program's ability to meet past performance measures for educational functioning level gains as defined by the National Reporting System for the last three years. Please provide performance data for levels 7 through 12, i.e., ESL beginning literacy through ESL advanced for the fiscal years 2009-2010, 2010-2011, and 2011-2012 by completing Table 1 (page 22) for each eligible provider included in the application. An electronic copy of Table 1 is provided on OAEL's Web site. Programs that have not participated in the NRS Web-based data system for the years requested should provide data related to enrollment and learner advancement and a description of the data system used to collect the information. Table 1 should not be included in the total page count for the application narrative.
- The commitment to serve individuals in the community who are most in need of literacy services, including individuals who are low-income or have minimal literacy skills
- The qualifications of staff, including instructors, counselors, and administrators, necessary to effectively carry out the activities identified in the Program Design section
- Staff development activities that are planned to improve the effectiveness of staff to meet the state goals and objectives, carryout the program design, and/or comply with state and federal considerations, policies, or performance measures during the grant period
- Partnerships with community organizations and agencies that facilitate the delivery of services outlined in the program design and promote the achievement of stated goals

**Table 1. History of Program Performance**

This table is for illustrative purposes only. Applicants must complete the electronic form for each locality represented to submit with their applications. This form can be downloaded from the OAEL Web site's Grants and Funding page.

<b>Educational Level</b>	<b>Performance</b>	<b>2009 -2010</b>	<b>2010 – 2011</b>	<b>2011 - 2012</b>
<b>ESL Beginning Literacy</b>	No. enrolled			
	No. with gain			
	% gain			
<b>ESL Low Beginning</b>	No. enrolled			
	No. with gain			
	% gain			
<b>ESL High Beginning</b>	No. enrolled			
	No. with gain			
	% gain			
<b>ESL Intermediate Low</b>	No. enrolled			
	No. with gain			
	% gain			
<b>ESL Intermediate High</b>	No. enrolled			
	No. with gain			
	% gain			
<b>ESL Advanced</b>	No. enrolled			
	No. with gain			
	% gain			

**PROGRAM EVALUATION (20 POINTS)**

Eligible applicants must demonstrate the ability to effectively evaluate their proposed plan and the achievement of their goals by describing the following.

- The process and responsibilities for collecting, entering, analyzing, and evaluating data
- The types of data used and the methods employed for analyzing data for use in program planning
- Methods for communicating evaluation results to staff

**BUDGET AND BUDGET NARRATIVE (15 POINTS)**

Eligible applicants must submit a budget that supports the proposed project for FY 2013-2014, contains allowable expenses, adheres to the budget requirements (page 12), and is reasonable to achieve the stated goals and objectives. It must accurately categorize the requested expenses by object code as described in the codes section of the budget workbook.

In addition, applicants must include a budget narrative that provides the following.

- An itemization of expenses by object code
- A description, number, unit cost, and total cost of itemized expenses where applicable
- Description of how the costs were derived where applicable

In addition to completing the contact information sheet, budget worksheets, and budget summary sheet in the EL/Civics Application Forms workbook, applicants must complete the Program Performance Targets Table. The information furnished in this section will be used to evaluate to what extent the grant recipient is able to meet the state-negotiated accountability targets during the grant period. The Application Forms workbook is located on the OAEL Web site at

[http://www.doe.virginia.gov/instruction/adulted/grants\\_funding/index.shtml](http://www.doe.virginia.gov/instruction/adulted/grants_funding/index.shtml)

Once the information has been entered into all of the workbook forms, the applicant should print a copy of each form, secure the required signatures, make four copies of the application materials, and submit all five sets (one original and four copies) to the delivery address noted in the Announcement of Funding Availability and Deadline for Receipt of Application sections. Applications should not be submitted in binders or special covers. It is the responsibility of the applicant to follow the application instructions within this packet as well as those that are included with the set of application forms. Applicants should contact OAEL if clarification about the application process is required.

#### **SUBMISSION GUIDELINES [S]**

- The application narrative may not exceed twenty, double-spaced, single-sided pages. Regional AEFLA programs applying on behalf of multiple localities may use up to twenty-five, typed, double-spaced, single-sided pages for the narrative.
- Submit application on 8-1/2-inch by 11-inch paper with a one-inch margin on all sides.
- A standard 12-point font, such as Times New Roman or Arial, should be used for the program plan narrative, budget documents, and appendix documents.
- Boldface type, underlining, and italics may be used. However, do not use color text.
- Place a page number on each page, starting with one, and number the pages consecutively throughout the document. (The budget worksheets, budget summary, and performance targets table will have their own page numbers.)
- Application materials should be organized and submitted in the following sequence.



- **Application checklist:** In the appendix of this application packet
- **Contact information sheet:** From the Application Forms workbook
- **Proposal narrative**
- **Budget summary:** From the Application Forms workbook
- **Budget worksheet(s):** From the Application Forms workbook
- **Program Performance Targets Table**
- **Appendix:** e.g., signed state assurances and letters of commitment from partnering agencies and organizations

### **SELECTION PROCESS [S]**

A review panel selected by OAEL will be responsible for reviewing applications that meet all submission requirements. Each application will be evaluated based on the criteria identified in this application packet. Once all of the applications have been reviewed, the review panel will submit to OAEL a list of programs recommended for funding.

### **AWARD AMOUNTS [S]**

Decisions about EL/Civics award amounts take into consideration a number of factors, including the amount of available funds, the number of applications recommended for funding, and the amounts requested in the recommended applications. OAEL strives to fund all qualified applications. In the event that the total amount requested in the applications recommended for funding exceeds the total amount of available funding, awards will be adjusted to accommodate the difference.

## APPENDIX

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## APPLICATION CHECKLIST

*All items in the application must be submitted in the order listed below.*

Form/Document	Requirements	Total Pages	Completed	DOE Use Only
<b>Application Checklist</b>	This checklist completed, verifying pages included	1	<input type="checkbox"/>	
<b>Contact Information</b>		1	<input type="checkbox"/>	
	Program management information <i>(Demographic Data, Printed Name, Signature, and Date)</i>		<input type="checkbox"/>	
	Fiscal preparation information <i>(Demographic Data, Printed Name, Signature, and Date)</i>		<input type="checkbox"/>	
	Data entry information <i>(Demographic Data, Printed Name, Signature, and Date)</i>		<input type="checkbox"/>	
	Regional programs (if applicable) <i>(Identify each locality served)</i>		<input type="checkbox"/>	
<b>Proposal Narrative</b>	Description of planned program	20 (max.)	<input type="checkbox"/>	
<b>Table 1</b>	History of Program Performance; a page for each program if applying as a consortium	Varies	<input type="checkbox"/>	
<b>Budget Workbook</b>		Varies	<input type="checkbox"/>	
<b>Budget Summary</b>	Program management information <i>(Printed Name, Signature, and Date)</i>		<input type="checkbox"/>	
	Fiscal preparation information <i>(Printed Name, Signature, and Date)</i>		<input type="checkbox"/>	
	Superintendent, Community College President, or Designee information <i>(Printed Name, Signature, and Date)</i>		<input type="checkbox"/>	
<b>Budget Worksheets</b>	Completed for all applicable object codes; regional programs must submit separate worksheets for each locality in the region		<input type="checkbox"/>	
<b>Program Performance Targets Table</b>		1	<input type="checkbox"/>	
<b>Assurances</b>		7		
	State Assurances <i>(Printed Name, Signature, and Date)</i>	3	<input type="checkbox"/>	
	Disclosure of Lobbying Activities (OMB 0348-0046) <i>(Printed Name, Signature, and Date)</i>	1	<input type="checkbox"/>	
	Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements (ED 80-0013 12/98) <i>(Printed Name, Signature, and Date)</i>	1	<input type="checkbox"/>	
	Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transactions (ED 80-0014 09/90) <i>(Printed Name, Signature, and Date)</i>	1	<input type="checkbox"/>	